



DEPARTMENT OF THE NAVY

OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20350-1000

SECNAVINST 5213.10D

N6

24 December 1992

SECNAV INSTRUCTION 5213.10D

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY (DON) FORMS MANAGEMENT PROGRAM

Ref: (a) DODD 7750.7 of 31 May 90 (NOTAL)
(b) DOD 7750.7-M of 14 Aug 91 (NOTAL)

1. Purpose. To implement references (a) and (b) and to provide policy and procedures for the DON Forms Management Program. This instruction is completely revised and should be read in its entirety.

2. Cancellation. SECNAV Instructions 5213.10C and 5213.14, OPNAV Instruction 5213.1B, forms OPNAV 5210/41, OPNAV 5213/17 and OPNAV 5213/20, and report control symbol OPNAV 5213-4.

3. Policy. The Secretary of the Navy (SECNAV) requires that each command provide for continuing analysis, review and control of all forms originated or sponsored by that command to ensure that forms are effective, efficient and economical in serving their intended purpose.

4. Responsibilities

a. The Assistant Secretary of the Navy (Research, Development and Acquisition) (ASSTSECNAV (RD&A)) is delegated overall responsibility for establishing forms management policies and procedures.

b. Responsibility for operating the Forms Management Program is assigned to the Chief of Naval Operations (CNO) (N6). As operational manager, CNO will:

(1) Maintain the overall Forms Management Program for DON.

(2) Serve as the single point of contact and liaison with the Office of the Secretary of Defense (OSD), other components of the Department of Defense (DOD), General Services Administration (GSA) and other federal agencies on forms matters.



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(3) Maintain SECNAV and Office of the Chief of Naval Operations (OPNAV) Programs.

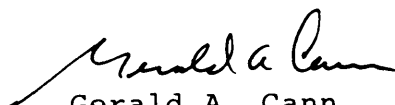
c. The Commandant of the Marine Corps (ARDB) will implement the program within the Marine Corps.

d. The Director, Navy Publishing and Printing Service, will provide technical assistance in forms management and design upon request of shore activities and units of the operating forces.

e. The Director, Navy Publishing and Printing Service Management Office, will provide for the printing and procurement of forms, including liaison for stocking and distribution.

5. Action. Addressees establishing, originating, or sponsoring forms will maintain a forms management program following the guidance contained in this manual, assign a command forms manager, and ensure that individuals within the command comply with these procedures.

6. Forms. The forms required by this instruction are listed in Chapter 5.



Gerald A. Cann
Assistant Secretary of the Navy
(Research, Development and Acquisition)

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CHAPTER 1

INTRODUCTION

1. Background. Forms management ensures that forms provide needed information effectively, efficiently and economically. Information is vital to the success of any organization and provides the basis for management decisions. Specific types of data are needed to meet particular requirements and forms are a major means for providing a fast and easy method of collecting information. As conditions or needs change, forms management provides for improvement and control of forms to ensure minimum burden is expended and maximum effectiveness obtained.

2. Documents. The following documents establish the authority for or contain information relative to forms management:

a. 44 United States Code, Sections 21, 29, 31, and 33 and 3501-3511 et seq. This statute contains the legal authority for records management in the Federal Government and provides GSA with oversight responsibility concerning the creation, maintenance, and use of records in federal agencies. Forms management is one area of records management.

b. Public Law 96-511, The Paperwork Reduction Act of 1980, dated 11 December 1980, as amended by Public Law 99-50, The Paperwork Reduction Reauthorization Act of 1986, dated 18 October 1986. This Act was established to reduce paperwork and enhance the economy and efficiency of the Government and the private sector by improving Federal information policymaking.

c. General Services Administration (GSA), Federal Information Resources Management Regulation (FIRMR) (see FIRMR Subchapter B).

d. Title 5, Code of Federal Regulations, Part 1320, Control of Paperwork Burdens on the Public, establishes policies for placing reporting requirements on the public.

e. 5 U.S.C. 552a, Privacy Act of 1974, protects individuals against an invasion of personal privacy and requires agencies to establish safeguards for identifying and preventing the disclosure of personal information to unauthorized individuals or organizations. This Act also requires that forms used to collect information directly from individuals contain a Privacy Act Statement citing the authority for collecting the information, the purposes and uses for requesting it, and the ramifications of not providing the information.

f. Public Law 81-754, Federal Records Act of 1950, of 5 September 1950, 44 United States Code, codified as amended in Chapters 25, 27, 29, 31, and 33.

- g. SECNAVINST 5214.2B, DON Information Requirements (Reports) Management Program
- h. SECNAVINST 5211.5C, Personal Privacy and Rights of Individuals Regarding Records Pertaining to Themselves.
- i. SECNAVINST 5200.18, Data Elements and Data Codes Standardization Program.
- j. SECNAVINST 5210.11D, DON File Maintenance Procedures and Standard Subject Identification Codes (SSIC).
- k. SECNAVINST 5212.5C, Navy and Marine Corps Records Disposition Manual.
- l. OPNAVINST 5510.1H, DON Information and Personnel Security Program Regulations.
- m. OPNAVINST 5218.7 (NOTAL), Navy Official Mail Management.
- n. NAVSUPINST 5600.20B (NOTAL), Introduction, Procurement and Management of Cognizance Symbol "1I" Forms into the Navy Supply System.

CHAPTER 2
FORMS MANAGEMENT

1. Forms Management. Forms management consists of:

a. Analysis and control - the development or improvement of data elements and forms design on proposed or existing forms and the review and coordination of forms to ensure efficient response to management requirements.

b. Printing and stocking - the decision-making process of determining how the form is to be stocked and distributed.

Note: Although forms managers are not responsible for printing and stocking forms, the forms manager must know how to stock forms in the supply system, how to write printing specifications, and how to aid the form's sponsor in determining the amount of forms to be stocked.

2. Analysis and Control

a. Forms must be constructed to obtain all needed information concisely, economically, and effectively. Instructions for completing a form, if needed, should be sufficiently clear to avoid misinterpretation.

b. Each item on the form must be necessary to satisfy a current need or known future requirement. Creating a form to meet some possible future need is not justified.

c. The need for a form can probably be determined by analyzing the answers to the following questions:

(1) Is the information required under the cognizance of the originating office?

(2) Is all the information requested necessary?

(3) How will the information be used?

(4) Can the information be obtained from another source?

(5) Is the request for information clearly stated?

d. Each data item of the form must be arranged in logical format for easy completion by the preparing organization and for efficient use by the receiving organization.

e. Determine the organization which can furnish precise, usable information in the easiest way. Reassignment of the responsibility for preparation of forms may avoid establishment of duplicate source records, unnecessary work flow, or other uneconomical processes.

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f. Distribution of completed forms is based on a "need-to-know" basis. Do not distribute courtesy copies.

g. Costing

(1) Need for costing. Consider the cost of establishing new forms and in improving existing forms. Compare investment of work-hours and other costs to the value received from the form. Effective decision-making processes, in some cases, justify costly forms.

(2) Methods of estimating costs. Base estimates on the actual situation. Estimate work hours and machine time from the approximate time spent by command personnel to prepare and process the form. Obtain dollar costs of any machine time, printing, special equipment, or other materials from the command completing the form.

h. The required method of control is the assignment of a form number by the forms manager. This number enables the forms manager to track each form from development to cancellation.

3. Printing and Stocking

a. Forms may be printed by the Commanding Officer, Navy Aviation Supply Office (ASO), Philadelphia, by local Navy Publishing and Printing Service (NPPS) print-on-demand system, or by command print shops.

b. Forms printed at ASO will be stocked in the Navy supply system. Forms printed from the NPPS print-on-demand system or by the command's print shop may be stocked in the command's supply room, sponsor's or user's office, or any other location approved by the sponsor.

c. The sponsor is responsible for providing information for obtaining the forms. Forms used within an office, such as routing slips with codes or names, do not require accompanying written documents. Forms used by personnel outside the office must be included in a requiring document, usually an instruction or notice, to inform potential users that the forms exist. This information is located in the last paragraph of the requiring document (above the signature) and contains the form number, revision date, title, and stock number (or other ordering information).

Note 1: Actual copies of forms will not be included in the requiring document unless a sample is specifically needed to aid the respondents in completing the form. In such instances a filled-in form may be included in the directive.

Note 2: If an unusual circumstance requires that a blank copy of the form be included in the directive for a

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specific reason, the word "sample" must be overlaid on the form to prevent unauthorized reproduction of the form.

Note 3: In rare instances (such as matters of safety or health) when a form must be provided by a directive the form may be attached as an enclosure and removed from the directive for use. However, these instances must be fully explained in writing to the forms manager who has the authority to disapprove this request. Local reproduction of the forms will not be authorized.

Note 4: Local reproduction of any type will not be authorized for forms that are available in the Navy supply system or the NPPS print-on-demand system. In specific instances forms managers may authorize local reproduction if Navy-wide use is under 100 forms annually.

4. Excess Stock. ASO, Philadelphia, is the central stocking point for all DON forms, and is delegated the authority to dispose of excess stock of any form that has not been ordered during a 2.5 year timeframe.

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FORMS DIAGRAM

GENERAL SERVICES ADMINISTRATION (USED BY ALL GOVERNMENT AGENCIES)	STANDARD FORM (SF) OPTIONAL FORM (OF)
OFFICE OF THE SECRETARY OF DEFENSE (USED BY DOD STAFF OFFICES, ARMY, NAVY AND AIR FORCE)	DEPARTMENT OF DEFENSE (DD)
DEPARTMENT OF THE NAVY (ESTABLISHED BY NAVY COMMAND HEADQUARTERS)	NAVY-WIDE FORMS
NAVY COMMAND (ESTABLISHED FOR INTERNAL USE IN A SPECIFIC COMMAND)	INTERNAL FORMS

FIRST LEVEL FORM -- SF/OF FORMS

ESTABLISHED FOR GOVERNMENT-WIDE USE - OSD AND NAVY PERSONNEL
WILL NOT CREATE DD OR NAVY FORMS THAT DUPLICATE SF/OF

SECOND LEVEL FORM -- DD FORMS

ESTABLISHED FOR DOD-WIDE USE - NAVY PERSONNEL WILL NOT CREATE
NAVY FORMS THAT DUPLICATE DD FORMS

THIRD LEVEL FORM -- NAVY-WIDE FORMS

ESTABLISHED FOR USE IN MORE THAN ONE NAVY COMMAND

FOURTH LEVEL FORM -- INTERNAL FORMS

ESTABLISHED FOR USE WITHIN A SPECIFIC NAVY COMMAND

CHAPTER 3

STANDARD FORMS AND OPTIONAL FORMS

1. Purpose. To define policies and responsibilities for the development, clearance, and standardization of Standard and Optional Forms.
2. Background. GSA is the central point for coordinating and controlling Standard and Optional Forms. GSA prints, stocks and sells these forms to any agency requiring them. The Office of Secretary of Defense/Washington Headquarters Services (OSD/WHS) serves as the DOD single point of contact for all matters relating to these forms. Use of Standard Forms is mandatory and if the forms available through GSA do not meet a command's needs, an exception to change or print the form in DON specifications must be obtained. Details for obtaining exceptions are contained in paragraph 7. Inquiries concerning these forms will be submitted through the appropriate chain of command to the SECNAV/OPNAV forms manager who is the DON single point of contact. Other forms managers will not contact OSD/WHS or GSA directly.
3. Policy. Standard and Optional Forms are the highest authority forms in the Federal Government. The military services and DOD agencies must use Standard or Optional Forms whenever possible. Use of existing DD or DON forms that duplicate, even in part, Standard or Optional Forms is not authorized.
4. Definitions
 - a. Standard Form (SF). Forms developed for use by two or more federal agencies and approved by GSA for mandatory use. The availability of these forms is generally set forth in regulations issued by the originating agency.
 - b. Optional Form (OF). Forms developed for use by two or more federal agencies and approved by GSA for nonmandatory use. The availability of these forms is generally set forth in regulations issued by the originating agency.
 - c. Originating Agency. The federal agency which develops a Standard or Optional Form and, after GSA approval, announces its availability for use by other federal agencies.
5. Action
 - a. DON personnel creating new Standard or Optional Forms will:
 - (1) Ensure that the form is needed, that the information requested is essential, and that the form does not duplicate any existing forms.

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(2) Draft a copy of the form, listing the data elements in logical order, with, if necessary, easily understood instructions for completing the required information.

(3) Prepare an implementing directive to inform respondents of the existence of the form.

(4) Obtain written concurrences/nonconcurrences of the proposed form and implementing directive from all interested federal agencies, DOD components and military services.

(5) Complete SF 152, Request for Clearance, Procurement, or Cancellation of Standard and Optional Forms, when a new form is proposed, an existing form is revised, or exceptions are required. Exceptions are explained in detail in paragraph 7.

(6) Provide a draft form and directive, the completed SF 152 with the justification and all coordinations to the command's forms manager for review. Justification will include, but is not limited to, monetary savings, hours of personnel time saved, type of equipment used, and annual demand.

(7) Notify the forms manager by letter when forms are cancelled.

(8) Provide the necessary information to the command's forms manager.

b. The command's forms manager will:

(1) Review the paperwork to ensure that it is correct and all the necessary paperwork is attached.

(2) Submit the paperwork, via the chain of command, to the SECNAV/OPNAV forms manager.

(3) Maintain case folders containing the necessary paperwork on the forms established by the command. Maintaining case folders on forms used by the command is not mandatory.

c. The SECNAV/OPNAV forms manager will:

(1) Maintain official liaison with OSD/WHS on all Standard and Optional Forms matters involving the DON.

(2) Provide guidance on Standard or Optional Forms, when requested.

(3) Participate in the joint development of forms with other federal agencies and the DON organizations.

(4) Provide final review and coordination on new, revised, or canceled Standard or Optional Forms.

(5) Provide to OSD/WHS the necessary paperwork to obtain approval of exceptions to Standard or Optional Forms.

(6) Maintain central documentation on Standard or Optional Forms sponsored by DON commands.

6. Composition of Standard or Optional Form Numbers. These forms are written as SF 171 or OF 290 and consist of the abbreviation for Standard Form (SF) or Optional Form (OF) and the next consecutive number in the Standard Forms or Optional Forms Program.

7. Exceptions

a. The following forms may be printed without GSA approval:

(1) SFs and OFs prescribed by the Federal Acquisition Regulation (FAR) are exempt from the requirement that GSA approval be obtained prior to printing. Under Part 53.105 of Federal Acquisition Circular 84-53 DOD users may computer generate SFs and OFs prescribed by the FAR without exception approval, providing there is no change to the content, format or sequence of the data elements and the form carries the SF or OF number and edition date.

(2) SFs and OFs containing the statement "Local Reproduction is Authorized" may be locally printed as needed.

b. Printing exceptions that require approval from GSA fall into the following categories:

(1) Content exceptions - changes to data elements of a form (for example, adding, deleting or changing block titles) or creating a new form instead of using an existing SF.

(2) Format exceptions - changes made by rearranging the data elements or spacing of entries on a form without changing the data elements.

(3) Printing exceptions - changes in the printing specifications because forms are not sold by GSA in constructions needed by DON. (Most DON requests for exceptions fall in this category.)

(4) Overprinting exceptions - completing blocks with repetitive information (such as an address) prior to printing. Approval is not required from GSA to overprint fill in data when blank forms are purchased from GSA stock and then overprinted in a second press run. However, command headquarters have the authority to approve or disapprove overprinting within their individual commands or activities.

c. Some exceptions may fall under more than one of the above categories.

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d. Any exception will become invalid if the SF or OF is revised.

8. Purchase of Negatives and Reproducibles. The Government Printing Office will no longer maintain files on negatives and reproducibles for agency exceptions to SFs. To obtain the negatives or reproducibles, submit a funded SF 1, Printing and Binding Requisition, with the printing request. Overprinting requires two negatives, one for the exception and one for the overprint. Indicate on the SF 1 the number of negatives and reproducibles needed, the address where they are to be sent, and the name and telephone number of a point of contact. The negatives must accompany each request for reprint.

9. National Stock Number. When GSA revises a form, the national stock number does not change. Once a national stock number is assigned to a SF or OF that number is applied to the form until the form is cancelled.

10. Beneficial Suggestions. Suggestions for improvements to SFs or OFs must be forwarded to the suggestor's forms manager. Since these forms are used government wide and have no DON sponsor, the suggestion, with individual endorsements as to why the suggestion should be approved, must be forwarded through the chain of command to the SECNAV/OPNAV forms manager. DON commands or activities within this chain of command have the authority to disapprove the suggestion. If the SECNAV/OPNAV forms manager concurs with the suggestion and individual endorsements, the suggestion will be provided to OSD/WHS for review and, if appropriate, forwarded to GSA for final action.

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CHAPTER 4

DEPARTMENT OF DEFENSE (DD) FORMS

1. Purpose. To define DON policies and responsibilities for the development, clearance, and standardization of DD forms.
2. Background. OSD/WHS provides a central point for coordinating, controlling, designing and approving DD forms and assigning form numbers.
3. Policy. DD forms are the highest authority forms originated in the DOD. All DON commands must use the DD forms whenever possible. Changing block headings, line spacings, deleting or adding information to a DD form or using a DON form that duplicates, even in part, a DD form is not authorized.
4. Definitions
 - a. DD Form. A form used by more than one military service or DOD staff office.
 - b. Prescribed DD Form. Mandatory use by all DOD components to whom the subject matter applies. Forms in this category are originated by the Secretary of Defense and prescribed by a DOD directive, instruction, or publication.
 - c. Adopted DD Form. Optional use by DOD components. Forms in this category are originated by a military service or DOD staff office and implemented by a joint document or DON directive.
5. Action
 - a. DON personnel creating new DD forms will:
 - (1) Ensure that the form is needed, that the information requested is essential and that the form does not duplicate existing forms.
 - (2) Ensure that respondents have sufficient time to complete the information required.
 - (3) Decide how the form will be printed and distributed, where it will be stocked, the estimated annual usage, and the number of commands expected to order the form.
 - (4) Draft a copy of the form, listing data elements in logical order with easily understood instructions for completing the form.
 - (5) Prepare a requiring directive to inform respondents of the existence of the form.

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(6) Provide a copy of the draft form to all interested military services and DOD staff offices for coordination and obtain written concurrences or nonconcurrences. Commandant of the Marine Corps (ARDB) will always be included in this coordination process. Names, telephone numbers, commands and codes of coordinating personnel will be included on the DD 67, Form Processing Action Request.

(7) Complete the DD 67.

(8) Provide the proposed form, directive, coordination, DD 67, and any other necessary information to the command's forms manager.

b. The command's forms manager will:

(1) Review the paperwork to ensure it is correct and complete. Return to the sponsor for correction, if necessary.

(2) After ensuring that the paperwork is correct submit the paperwork, via the chain of command, to the SECNAV/OPNAV forms manager.

(3) Maintain case folders containing all the necessary paperwork on the forms established by the command. Case folders are not required on forms prepared by the command.

c. The SECNAV/OPNAV forms manager will ensure that the information on the DD 67 and the other paperwork is correct and either return the paperwork to the DON sponsor for correction or forward the paperwork to OSD/WHS for approval.

6. Composition of DD Form Numbers. These DD form numbers are assigned by OSD/WHS. An example of a DD form number is DD 2544. DD is the abbreviation for DOD and the number 2544 is the next chronological number of the DD forms. DD form numbers will be written as DD 2544, not DD Form 2544. This eliminates the repetition of the word "form" throughout Navy directives.

7. Alteration. DON personnel will not change or modify DD forms to suit individual needs.

8. Overprinting. Overprinting blocks containing the same information, such as a return address block, is permissible.

9. Printing. DD forms may be printed in any construction (such as six-part sets, carbonless paper, etc.) unless mandatory printing specifications are provided by OSD/WHS.

10. Beneficial Suggestions. Suggestions concerning DD forms will be provided to the Navy sponsor of the DD form for comments. If the suggestion has merit it can be forwarded, with comments and concurrences, to the SECNAV/OPNAV forms manager for review and, if appropriate, forwarding to OSD/WHS for final action.

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CHAPTER 5

DEPARTMENT OF NAVY FORMS

1. Purpose. To define policies and responsibilities for the development, control, and use of forms required by and used within the DON.

2. Policy. The Secretary of the Navy (SECNAV) requires that each command provide for continuing analysis, review, and control of all forms originated or sponsored by that command to ensure that forms are effective, efficient and economical in serving their intended purpose. This includes:

a. Reducing the paperwork burden associated with the collection and reporting of information on forms.

b. Using the minimum number of different forms necessary for the efficient and economical operation of the DON.

c. Collecting only information on a form that is essential to accomplish a mission need.

d. Eliminating redundant or unnecessary forms.

e. Standardizing forms to the maximum extent practicable and consolidating lower level or duplicative forms into higher level forms using the order of precedence whenever possible.

f. Requiring the sponsor of the form to initiate actions to create, revise, or cancel a form.

g. Requiring that the creation, revision, exception or cancellation of a form be approved by the appropriate Forms Manager.

h. Requiring that the electronic version of an official form be authorized by the sponsor and approved by the appropriate Forms Manager.

i. Requiring that appropriate approvals and licenses for information collected from other agencies, the public or the Department of Defense be obtained and displayed on forms.

j. Preventing unauthorized disclosure of "FOR OFFICIAL USE ONLY (FOUO)" information recorded on forms by providing proper marking.

k. Using a Privacy Act Statement on forms used to collect personal information.

l. Using approved DON standard data elements and codes in the design of forms.

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m. Using technology, when approved by the sponsor and Forms Manager, to the maximum extent possible to create, distribute and use forms and to record, store and disseminate information entered on forms.

n. Implementing postal regulations of the United States Postal Service in forms mailing and design.

o. Ensuring that forms which are created for use outside individual commands be contained in a requiring document, usually an instruction or notice.

p. Reviewing annually all command forms and identifying, if possible, opportunities for standardizing, eliminating duplicate or unnecessary forms, and improving the usefulness of forms.

q. Requiring that accounting forms relating to fiscal operations are consistent with the principles, standards and related requirements prescribed by 31 U.S.C. 3511.

3. Program Objectives

a. Increase awareness of the need for coordination with related information resources management policies and programs.

b. Ensure that appropriate forms and related procedures are developed and designed to facilitate DON operations.

c. Ensure that forms are cost-effective.

d. Eliminate duplication of forms through control and consolidation of those forms serving similar functions, using higher echelon forms whenever possible.

e. Ensure that DON forms approved by the command forms manager and assigned a form number will not be changed to meet individual needs unless approval is obtained from the originator of the form and/or the person receiving the form. Forms sponsors or persons receiving the form have the authority to reject forms changed without approval.

4. Program Functions. Application of the following functions is essential to achieve program objectives:

a. Analyze and develop forms and related procedures and automated systems involving forms.

b. Maintain a central control office for the management of all forms originated and sponsored in an organization.

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c. Conduct periodic reviews of forms to ensure continuing usefulness of the forms.

d. Coordinate forms management with other records management personnel (such as reports, directives, records disposal, Privacy Act) to ensure that proposed or established forms do not conflict with policies in other records management areas.

5. Definitions

a. Form. A fixed arrangement of captioned spaces designed for entering and extracting prescribed information.

Note: Certain printed items without fill-in spaces, such as tags, labels, and posters, may be considered as forms if they are to be stocked in the Navy supply system. These items must also be mentioned in a requiring instruction. Form numbers will not be assigned to these items as matter of convenience if they are not stocked in the Navy supply system.

b. One-time Form. Developed for use for a specific project having an established termination date.

c. Test Form. Developed for testing prior to its permanent adoption. Test forms should not exceed one year.

d. Format. An arrangement of data items in a prescribed sequence where the number or frequency of responses is limited. Formats may be used where the space required for response varies widely, or where transmittal and reply by message is required due to operational necessity. Formats should not be used in place of a standardized form or in the belief that a format will expedite a project. Formats often place an unnecessary burden on the respondent and can even fail to provide the needed data. Since they have no fill-in spaces, formats do not require form numbers.

e. Bootleg Form. An uncontrolled form, issued without an identifying prefix or number, and not compatible with any particular method of completion. Bootleg forms are unauthorized and need not be completed.

f. Electronic/Automated Form. A form which is created or reproduced on electronic or automated equipment. See Chapter 6 for further information.

g. Optical Character Recognition Form (OCR). Designed for compatibility with OCR equipment which enables a machine to read by optical means human readable characters. Specifications for the design and composition of most OCR forms are peculiar to specific equipment models (though certain "universal" type faces have been developed), to the extent that design and composition is usually a part of the forms and/or equipment procurement contract. Since OCR forms design is so closely related to

proprietary specifications and systems requirements, forms managers should consult OCR equipment manufacturers for assistance.

h. Originator. Any command assuming responsibility for a form. The originator will decide what items to be included on the form, the estimated annual usage and a stocking point. This information will be submitted to the forms manager for approval. If the form will be used outside the command the originator must inform users in writing (usually by directive) that the form is required and also provide a signed copy of the requiring directive to the command's forms manager.

i. Sponsor. Any command assuming responsibility for a form originated by another command or agency. An example of sponsorship is DD 2351, DOD Medical Examination Review Board, originated by the Department of the Air Force but sponsored for DON use by Chief, Bureau of Medicine and Surgery, who assumes the same responsibilities as the originator.

j. Receiver. In some cases one command originates or sponsors a form but the completed form is sent to another command. In these cases, the receiving command must be part of the coordination process in order to ensure that correct information is provided.

k. Exception. Form letters, formats, checklists, etc. are not considered forms and do not require form numbers unless the forms manager decides otherwise.

l. Stock Number. Both GSA and DON use stock numbers to identify and order forms. Information for GSA stock numbers is contained in the "Standard and Optional Forms Facsimile Handbook" published by GSA. Information containing Navy stock numbers is published in NAVSUP P-2002D. The abbreviation for the GSA stock number is NSN (National Stock Number) and the abbreviation for the DON stock number is S/N. GSA NSNs are not changed with revisions; however, DON stock numbers are changed each time a form is revised.

6. Action

a. DON personnel creating new DON forms will:

(1) Ensure that the form is needed, that the information requested is essential and that the form does not duplicate existing forms.

(2) Ensure that respondents have sufficient time to complete the information.

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(3) Decide how the form is to be printed and distributed, where it is to be stocked, the estimated annual demand, and the number of responses expected.

(4) Obtain a report control symbol if the form is part of a reporting requirement.

(5) Draft a copy of the form, listing the data elements in logical order and, if needed, complete and easily understood instructions for completing the required information.

(6) Prepare a directive to inform respondents of the existence of the form (include the requiring directive number on the form so persons receiving the form are able to match the form with the requiring directive). Internal forms, such as forms remaining within an office, are exempt from this requirement.

(7) Complete either DD 67 to request approval of DD forms or OPNAV 5213/19 to request approval of DON forms.

(8) Provide a copy of the proposed form and directive, with a completed DD 67 or OPNAV 5213/19, to the command's forms manager for review and approval.

(9) Notify the command's forms manager in writing when the form is cancelled and, if necessary, remove the form from the requiring directive by issuing a change transmittal or revision.

b. The command's forms manager will:

(1) Review the submitted documentation to ensure that it is correct.

(2) Ensure that the form does not violate the Privacy Act of 1974 (see Chapter 1, Paragraph 2e). Include a Privacy Act Statement (PAS) on the form, if needed. The PAS must meet the requirements of SECNAVINST 5211.5C. Forms containing Privacy Act Statements must be reviewed by the command's Privacy Act Official prior to approval.

(3) Determine the fastest and easiest method to design the form. Use Forms Analysis and Design 1980 for complete forms specifications. Forms may be designed into camera-ready copy by using graphic equipment, by obtaining the services of special contractors, by using in-house printing services, etc. The specifications for DON forms are provided in paragraph 8 and may be used unless the form requires mandatory printing specifications.

(4) Ensure that the block headings on the form conform with SECNAVINST 5200.18 (NOTAL). Forms falling in this category should be reviewed by the command's standardization officials.

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(5) Ensure that forms containing postal information are designed following the policies contained in OPNAVINST 5218.7 (NOTAL). Forms containing postal information must be approved by the command's postal officials.

(6) Assign a form number if a higher echelon number has not been assigned.

(7) Ensure that the title of the form indicates subject matter or purpose of the form.

(8) Review the proposed requiring document to ensure that all necessary information is included in the forms paragraph. The last paragraph of the basic instruction (just above the signature line) will include the form number, revision date, title, and the method for obtaining the form.

(9) Provide a copy of the form to the reports manager if the form is also a reporting requirement. If a report control symbol is assigned, it must appear in the top right corner of the form immediately below the supporting directive.

(10) Maintain a log of all form numbers assigned using OPNAV 5213/18 or, if desired, automated equipment.

(11) Maintain case folders on all current forms which are originated or sponsored by the command. A case folder consists of, but is not limited to, a completed DD 67 or OPNAV 5213/19, a copy of the form, the requiring directive, any other material relating to the form and, if the form is cancelled, a copy of the cancelling document. Form folders are usually arranged by organizational prefix and then chronologically by number; however, form folders may also be arranged by subject, if desired.

Note: Maintaining case folders on forms originated or sponsored by the command is mandatory but maintaining case folders on forms only used (not originated or sponsored) by the command is not mandatory.

(12) Ensure that all printing constructions are established for easy use. Carbon interleaved constructions should be kept to a minimum and carbon paper used only when absolutely necessary. Multi-copy constructions must easily fit into typewriters and computers without causing jamming or other unnecessary problems.

(13) Stock forms in the Navy supply system by following the guidance contained in NAVSUPINST 5600.20B (NOTAL).

(14) Cancel all forms after notification from the originator that they are no longer required. Forward cancelled

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forms containing reporting requirements to the reports manager for appropriate action.

(15) Cancelled case folders may be destroyed or retired to Federal Records Centers by following the guidance contained in SECNAVINST 5212.5C.

7. Composition of DON Form Numbers. An example of a DON form number is OPNAV 1000/1 (2-91) or NAVSEA 1000/1 (Rev. 2-91). These numbers consist of:

a. An abbreviation for the originating command in capital letters, such as OPNAV, NAVSEA, etc., or one combining the command abbreviation, usually with its location, such as NAS OCEANA. Where general forms have been developed for two or more commands within the same geographical area or chain of command, use the prefix of the Naval Supply Center stock point where the form will be stocked; for example, SAN DIEGO GEN 1000/1.

b. A standard subject identification code (SSIC) number, selected from SECNAVINST 5210.11D, which best matches the title of the form. In the above example the SSIC number is 1000.

c. A slash or slant (/) which separates the SSIC number from the next consecutive number within each SSIC number. Since point numbers (or periods) are assigned to directives, dashes to report control symbols, and slashes to forms, the use of the slash in the form number eliminates the need for the word "form". If the word "form" must be used it will be placed before the command abbreviation (such as form OPNAV 1000/1 or form NAS OCEANA 1000/1).

d. The number after the slash is the next consecutive number in the SSIC series, for example, the number 1 in the form number OPNAV 1000/1 means this is the first form number assigned in the 1000 SSIC series for OPNAV. Form numbers will not contain letters, for example OPNAV 1000/1A and OPNAV 1000/1B. This numbering system is confusing if OPNAV 1000/1A is cancelled and OPNAV 1000/1B remains current.

e. The date the form is established or revised must be included in parentheses after the form number. The date the form is created will be shown as (2-90) and subsequent revisions as (Rev. 4-91).

f. The word "Test" or abbreviation "OT" (one time) after the form number, for example, OPNAV 1000/1 (2-91) (Test) or OPNAV 1000/1 (2-91) (OT), if applicable.

8. Design Standards. Forms Analysis and Design 1980 provides information on the design of forms. Use the following design standards in the preparation of DON forms, except when precluded by special requirements or the functional use of the form:

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a. Specifications:

(1) Size: 8 1/2" x 11"

Note: DON uses the standard 8 1/2 x 11" paper whenever possible; however, there are instances when designing and/or printing forms on other than standard size paper is mandatory; for example, some OSD/WHS and Navy programs require forms on paper larger than standard size. In these special instances designing and printing forms on other than standard size paper may be authorized by the command forms manager.

(2) Typography: Helvetica or equivalent

(3) Ink: black

(4) Paper: chemical wood white 16 or 20 pound

(5) Margins: (minimum) 2/6" top/bottom 3/10" left/right

(6) Image size: 7-15/16, x 10 1/4"

(7) Form/Style: box with 1 point (pt.) solid border rule on all sides

(8) Numbering: block headings will be numbered (forms managers may grant exceptions in individual cases)

b. Location of format elements and reproduction size of type:

(1) Form title: top left; 12-18 pt. bold capitals (caps)

(2) Supporting directive: top right; 6 pt. medium (med) all caps

(3) Report control symbol, if needed: top right corner just below supporting directive, 6 pt. med all caps

(4) Form prefix (all caps), form number, and date or revision (initial caps (Rev.)) date: bottom left; 6 pt. med

(5) Stock number: bottom center; 6 pt. med

(6) Supersession and other legends: bottom right; 6 pt. med cap and lower case.

9. Classified Forms. Show appropriate security classification marking and indicate any downgrading, declassification or review instruction as specified by OPNAVINST 5510.1H on all forms which are classified. A form which is unclassified when blank, but classified when filled in, will carry the appropriate classification markings followed by the phrase (when filled in) in parentheses, for example: CONFIDENTIAL (when filled in).

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10. Beneficial Suggestions. Suggestions for improving the forms program must be provided to the command's forms manager for appropriate action. The forms manager will forward the suggestion to the sponsor of the form for comments and approval or disapproval. If the recommendation must be elevated to a higher level for action, recommendations for approval or disapproval must accompany the proposed suggestion.

11. Report Forms. In many instances forms are also requests for information and are subject to reports control. Reports control falls into three categories - public, interagency, and internal reporting:

a. Public reporting

(1) Forms requiring information from 10 or more persons not employed by the Federal Government are considered public reporting requirements and collection of this information must be approved by the Office of Management and Budget (OMB). Contractors employed by DON, DON dependents and retired DON personnel are considered members of the public. Forms sponsors having a form falling in this category must prepare the necessary paperwork for OMB approval and provide this information to the command's report control manager who will submit the paperwork through the chain of command to the SECNAV/OPNAV forms manager who will submit the paperwork through OSD/WHS to OMB for final approval.

NOTE: OMB notifies Congress of unauthorized public reporting requirements and Congress then informs the agency or department that is in violation of OMB regulations to immediately take appropriate action to discontinue collecting the information.

(2) After OMB approval is obtained, the OMB control number and the expiration date (if one is assigned) of the control number must appear in the upper right corner of the form. If OMB disapproves the collection of information, the form will not be used to request information from the public.

NOTE: The OMB control number is assigned to the collection of information by the public only, not to the form itself. The expiration date, therefore, applies only to the collection of information from the public, not to the collection of information from government employees. For example, if 90 percent of the information on the form is collected from government employees and 10 percent is collected from the public, after the expiration date the action officer must discontinue collecting the information from the public but may continue collecting information from government employees, if still required.

(3) OMB approval lasts for a maximum of only three years so large quantities of stock should not be ordered if the stock

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will not be used by the public before the expiration date. When the OMB approval number has expired the information cannot be collected from the public until the forms sponsor again goes through the approval process for an extension to continue collecting the information.

NOTE: If the only change to the form is the new expiration date and large quantities of stock are still available, the old expiration date may be crossed out and the new expiration date added by pen.

(4) OMB requires that an Agency Disclosure Notice (ADN) be displayed on all forms requiring an OMB Control Number and that the ADN be written across the form immediately below the form title and the OMB control number. The ADN used by DOD may be obtained from the reports control manager.

b. Interagency reporting. This occurs when one department levies a reporting requirement on another department; for example, the Department of State may require a report from the Departments of Defense and Transportation. Army, Navy and Air Force are considered part of the Department of Defense and not as separate Departments. These reports must be approved by GSA and since DOD is considered the lead organization for DOD staff offices and all Services, the Departments of Navy, Army and Air Force do not initiate interagency reports but can, however, respond to interagency reports if tasked by DOD.

c. Internal reporting. Reporting requirements established by and used within DON.

12. Reports Control Management. Additional guidance for reports control management is contained in SECNAVINST 5214.2B.

13. Forms

a. The following forms and publication are available in the Navy supply system and may be requisitioned per NAVSUP P-2002D:

(1) OPNAV 5213/18 (12-81), Forms Register, S/N 0107-LF-052-1390

(2) OPNAV 5213/19 (Rev. 7-81), Request for New or Revised Form, S/N 0107-LF-052-1397

(3) Forms Analysis and Design 1980, S/N 0584-LP-502-0000

b. SF 1, Printing and Binding Requisition, NSN 7540-00-634-3955 and SF 152, Request for Clearance, Procurement, or Cancellation of Standard and Optional Form, NSN 7540-00-935-4084, may be ordered from GSA.

c. DD 67 (Rev. 9-91), Form Processing Action Request, may be ordered from the SECNAV/OPNAV forms manager.

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CHAPTER 6

AUTOMATED FORMS

1. Authority. GSA FIRMIR Bulletin 23 (NOTAL) which addresses the management of records in Federal agencies, including forms management.
2. Responsibility. The head of each DON command or activity will ensure that automated forms created, copied, stored, transmitted, or destroyed are in compliance with established policies and procedures.
3. Purpose. To provide guidelines for managing forms created, copied, stored, transmitted or destroyed by personal computers, word processors, vendor software products, electronic data interchange, or other equipment.
4. Definitions
 - a. Electronic Form. A form created, stored, transmitted, filled-in, filed and destroyed electronically. There is no paper involved in this process.
 - b. Flatsheet Print on Demand Form. A form created, transmitted, and stocked electronically, but printed, filled-in, filed and stored on paper.
 - c. Computer Generated Form. A form designed for various computer systems.
 - d. Electronic Data Interchange (EDI). A paperless computer to computer exchange of routine business documents.
5. Background
 - a. Federal agencies are relying increasingly upon automated office equipment and systems to create, duplicate, maintain, use and dispose of records. The result could be that many records which are the basis for official policy decisions may never appear in a paper form.
 - b. Records management policies and procedures must accommodate the changes which result from automation in order to avoid costly problems or the unauthorized disposition of Federal records.
6. Application
 - a. The creation, maintenance, and disposition of all official records, regardless of physical appearance, is controlled by the provisions of 44 U.S.C. Chapters 21, 29, 31, and 33 and both the FIRMIR (41 CFR Chapter 201) and National

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Archives and Records Administration (NARA) regulations in 36 CFR Chapter XII (formerly 41 CFR Part 101-11).

b. The Paperwork Reduction Act of 1980 (44 U.S.C. 3501 et seq.) calls for the coordination and integration of Automated Data Processing (ADP), telecommunications, and records management policies. All three of these elements are present in automated recordkeeping systems.

c. To implement the above applications:

(1) The Administrator of GSA is required by law to provide guidance and assistance to Federal agencies to ensure economical and effective records management by such agencies (44 U.S.C. 2904).

(2) The Archivist of the United States is required by law to provide guidance and assistance to Federal agencies with respect to ensuring adequate and proper documentation of the policies and transactions of the Federal Government and ensuring proper records disposition (44 U.S.C. 3303a, 3314).

(3) Agency heads are required to:

(a) Make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities (44 U.S.C. 3101).

(b) Submit records disposition schedules to the Archivist of the United States for approval. No record may be destroyed without the authorization of the Archivist (44 U.S.C. 3303, 3303a, 3314).

7. Action

a. Personnel will not purchase forms software packages without informing the command's forms manager.

b. Personnel establishing internal forms by automated process will ensure that the forms are submitted to the command forms manager for proper control.

c. Personnel will not duplicate an existing form by automated process to meet individual needs unless written permission from the sponsor of the form and/or person receiving the form is obtained.

d. If permission is granted to automate the form, the form will not be altered in any way. All lines, spacing, block titles, etc. must not be changed. Additions or deletions of any

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information is not acceptable. The originator, sponsor, or recipient of the completed form has the right to refuse to accept altered forms or forms that are submitted without permission to automate the form.

e. The command forms manager will be notified in writing of all automated forms that will be initiated, completed or destroyed by command personnel.

f. Action officers establishing automated forms on discs will be responsible for the printing and distribution of the discs to appropriate users. The Navy supply system can store discs but is not equipped to print discs at this time. Action officers will not require or expect individual commands or activities to design and complete the needed information on individual personal computers. If the action officer requires the information on discs, the action officer will assume the responsibility for providing the discs to the users.

g. Personnel establishing or completing automated forms will be responsible for maintaining and/or destroying this information using the policies established in SECNAVINST 5212.5C. Automated forms create entirely new problems in areas of disposition (especially concerning personnel records, medical records, contract records, etc.) and these records must be properly safeguarded.

h. SFs and OFs will not be automated without GSA approval.

i. DD forms will not be automated without OSD/WHS approval.

j. DON forms will not be automated without the command's forms sponsor's and forms manager's approval.